

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

96700/905

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/501628

INTERNATIONAL APPLICATION NO.  
PCT/US03/01149INTERNATIONAL FILING DATE  
January 15, 2003PRIORITY DATE CLAIMED  
January 17, 2002

TITLE OF INVENTION

MUTATIONS CAUSED BY ACTIVATION-INDUCED CYTIDINE DEAMINASE

APPLICANT(S) FOR DO/EO/US

Alberto Martin and Matthew D. Scharff

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: transmittal cover letter; AR&E check for \$430.00; and return receipt postcard.

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/501628</b>		INTERNATIONAL APPLICATION NO. PCT/US03/01149		ATTORNEY'S DOCKET NUMBER 96700/905	
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21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . . <b>\$1080.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO . . . . . <b>\$920.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . <b>\$770.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . . <b>\$730.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . . <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>	
				\$ 730.00	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =		x <b>\$18.00</b>		
Independent claims	- 3 =		x <b>\$86.00</b>		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ <b>\$290.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 860.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 430.00	
<b>SUBTOTAL =</b>				\$ 430.00	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 430.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$ 430.00	
				Amount to be refunded:	\$
				charged:	\$

a. ☒ A check in the amount of \$ 430.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required <sup>to prevent abandonment,</sup> or credit any  
 overpayment to Deposit Account No. 01-1785. A duplicate copy of this sheet is enclosed.

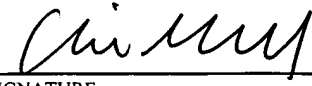
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
 or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Craig J. Arnold, Esq.  
 Amster, Rothstein & Ebenstein LLP  
 90 Park Avenue  
 New York, NY 10016

  
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 Elie H. Gendloff  
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10/501628

July 15, 2004

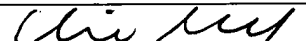
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P.O. Box 1450  
Alexandria, VA 22313-1450

"Express Mail" mailing label No.	EL 996361569 US
Date of Deposit:	July 15, 2004
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.	
Name:	Elie H. Gendloff
Signature:	

Re: National Stage Entry of PCT Application PCT/US03/01149  
Filed January 15, 2003 (International Filing Date)  
Title: MUTATIONS CAUSED BY ACTIVATION-INDUCED  
CYTIDINE DEAMINASE  
Inventor: Alberto Martin and Matthew D. Scharff  
Our File: 96700/905

Sir:

Enclosed please find the following documents for filing in connection with the above-identified application in the name of Albert Martin and Matthew D. Scharff, entitled MUTATIONS CAUSED BY ACTIVATION-INDUCED CYTIDINE DEAMINASE:

1. Transmittal Letter ... Form PTO-1390 (2 pages and 1 duplicate page of fee sheet, as required);
2. Copy of the International Application PCT/US03/01149, published under WO 03/061363;
3. Amster, Rothstein & Ebenstein LLP check in the amount of \$430.00 to cover the National Stage filing fees (claiming small entity status); and
4. Return receipt postcard.

10/501628

DT04 Rec'd PCT/PTO 1-5 JUL 2004  
July 15, 2004

Commissioner for Patents  
Alexandria, VA 22313-1450  
Mail Stop PCT

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Please acknowledge receipt of the enclosed documents by stamping the enclosed postcard and returning same.

The Commissioner is hereby authorized to charge to Deposit Account 01-1785 any additional fees which may be required to prevent abandonment of this application.

Respectfully submitted,

Amster, Rothstein & Ebenstein LLP  
Attorneys for Applicants  
90 Park Avenue  
New York, NY 10016  
212 336 8000

Dated: New York, New York  
July 15, 2004

By:   
Elie Gendloff  
Registration No. 44,704